



12-15-04

IFW

EXPRESS MAIL CERTIFICATE

"Express Mail" Label No. : EV 463 357 347 US
Serial No. : 10/763,068
Applicant(s) : Peng et al.
Filing Date : January 22, 2004
Title: : Monodisperse Core/Shell and Other Complex Structured Nanocrystals and Methods of Preparing the Same
Examiner : To Be Assigned
Group Art Unit : 1774
Type of Document(s) : Express Mail Certificate;
Transmittal Form;
Information Disclosure Statement;
PTO/SB/08a;
5 patents, 8 articles; and
Return Postcard

I hereby certify that the documents identified above are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated below and are addressed to Mail Stop Amendment, Commissioner for Patents, P O Box 1450, Alexandria, VA 22313-1450.

Carol McCabe (signature)
Carol McCabe

Date Mailed: December 14, 2004

RECEIVED
OPIE/JC/S
DEC 16 2004



Express Mail No. EV 463 357 347 US

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of : Peng et al.
Serial No. : 10/763,068
For : **Monodisperse Core/Shell and Other
Complex Structured Nanocrystals and
Methods of Preparing the Same**
Filed : January 1, 2004
Examiner : To Be Assigned
Art Unit : 1774

Mail Stop Amendment
Commissioner of Patents
P.O. Box 1450
Alexandria, VA 22313-1450

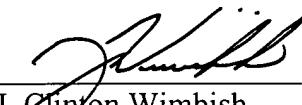
INFORMATION DISCLOSURE STATEMENT

Pursuant to 37 C.F.R. §§ 1.56, 1.97, and 1.98, Applicants submit herewith on Form SB/08A a listing of documents known to the Applicants and/or their attorney. Applicants respectfully request consideration of the cited documents and making the same of record in the prosecution of the above-identified application. In doing so, Applicants do not waive any rights to appropriate action to establish patentability over the listed documents should they be applied as references against the claims of the present application. Copies of the thirteen (13) documents listed are submitted herewith.

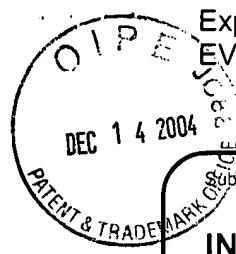
This Information Disclosure Statement is being submitted prior to the mailing of a first Office Action in the present application. As a result, Applicants believe that no fee is currently due. However, should any fees be due, the Commissioner is authorized to charge such fees to Deposit Account No. 16-1435. A duplicate of this sheet is attached for that purpose.

Respectfully submitted,

12/14/04
Date


J. Clinton Wimbish
Reg. No. 54,545

Kilpatrick Stockton LLP
1001 West Fourth Street
Winston-Salem, NC 27101
(336) 607-7300



Express Mail Cert. No.
EV 463 357 347 US

DEC 14 2004

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Approved for use through 07/31/2006. OMB 0651-0031

Approved for use through 07/31/2006. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE
to respond to a collection of information unless it contains a valid OMB control number.

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Substitute for form 1449A/PTO		Complete if Known	
INFORMATION DISCLOSURE STATEMENT BY APPLICANT		<i>Application Number</i>	10/763,068
(Use as many sheets as necessary)		<i>Filing Date</i>	January 22, 2004
		<i>First Named Inventor</i>	Peng et al.
		<i>Art Unit</i>	1774
		<i>Examiner Name</i>	To Be Assigned
Sheet	1	<i>Attorney Docket Number</i>	40715-296579
of 2			

U.S. PATENT DOCUMENTS

FOREIGN PATENT DOCUMENTS

Examiner Signature		Date Considered	
-----------------------	--	--------------------	--

¹EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.² Applicant's unique citation designation number (optional).³ See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04.⁴ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3).⁵ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document.⁶ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible.⁷ Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Express Mail Cert. No.
EV 463 357 347 US

DEC 14 2004



PTO/SB/08b(08-03)

Approved for use through 07/31/2006. OMB 0651-0031

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number

Substitute for form 1449B/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Sheet

2 of 2

Complete if Known

Application Number	10/763,068
Filing Date	January 22, 2004
First Named Inventor	Peng et al.
Art Unit	1774
Examiner Name	To Be Assigned

Attorney Docket Number 40715-296579

NON PATENT LITERATURE DOCUMENTS		
Examiner Initials *	Cite No. ¹	
		Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.
		ALIVISATOS, A.P., "Perspectives on the Physical Chemistry of Semiconductor Nanocrystals," J. Phys. Chem., 1996, Vol. 100, Pages 13226-13239, Column 2, Paragraphs 2-3; Page 13228, Column 2, Paragraph 1; Page 13229, Figure 6; Page 13233, Figure 14; Page 13238, Luminescence.
		MANNA et al., "Epitaxial Growth and Photochemical Annealing of Graded CdS/ZnS Shells on Colloidal CdSe Nanorods," J. Am. Chem. Soc., 2002, Vol. 124, Pages 7136-7145. Abstract, Page 7138; Results, Page 7143, Figure 7.
		CHAN et al., "Luminescent quantum dots for multiplexed biological detection and imaging," Current Opinion in Biotechnology, 2002, Vol. 13, Pages 40-46, especially pages 40-41.
		REISS et al., "Highly Luminescent CdSe/ZnSe Core/Shell Nanocrystals of Low Size Dispersion," Nano Letters, 2002, Vol 2, No. 7, Pages 781-784. Abstract, Page 781, Column 1, Paragraph 1; Page 782, Text, Figure 3.
		CAO et al., "Synthesis and Characterization of InAs/InP and InAs/CdSe Core/Shell Nanocrystals," Angew. Chem. Int. Ed., 1999, Vol. 38, No. 24, Pages 3692-3694.
		LEE et al., "Full Color Emission from II-VI Semiconductor Quantum Dot-Polymer Composites," Adv. Mater., 2000, Vol. 12, No. 15, Pages 1102-1105.
		CUMBERLAND et al., Inorganic Clusters as Single-Source Precursors for Preparation of CdSe, ZnSe and CdSe/ZnS Nanomaterials," Chem. Mater., 2002, Vol. 14, Pages 1576-1584, especially pages 1576-1578.
		International Search Report dated September 8, 2004, for related PCT application PCT/US04/01895.

Examiner Signature	Date Considered
--------------------	-----------------

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹Applicant's unique citation designation number (optional). ²Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 120 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.



Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Total Number of Pages in This Submission

Application Number 10/763,068

Filing Date January 22, 2004

First Named Inventor Peng et al.

Art Unit 1774

Examiner Name To Be Assigned

Attorney Docket Number 40715-296579

ENCLOSURES (check all that apply)

<input type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment / Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input checked="" type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Reply to Missing Parts/ Incomplete Application <input type="checkbox"/> Reply to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____ <input type="checkbox"/> Landscape Table on CD	<input type="checkbox"/> After Allowance Communication to TC <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to TC (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): Express Mail Cert. No. EV 463 357 348 US Transmittal Form PTO/SB/08a 5 patents, 8 articles, and Return Postcard
Remarks		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm	Kilpatrick Stockton LLP		
Signature			
Printed Name	J. Clinton Wimbish		
Date	12/14/04	Reg. No.	54,545

CERTIFICATE OF TRANSMISSION/MAILING

I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below.

Signature			
Typed or printed name		Date	

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.



Track & Confirm

Shipment Details

You entered EV46 3357 347U S

Your item was delivered at 11:23 am on December 15, 2004 in ALEXANDRIA, VA 22313 to PATENT OFFICE. The item was signed for by M BOSTON.

Here is what happened earlier:

- ARRIVAL AT UNIT, December 15, 2004, 8:31 am, DULLES, VA 20102
- ENROUTE, December 14, 2004, 5:22 pm, GREENSBORO, NC 27425
- ACCEPTANCE, December 14, 2004, 3:12 pm, WINSTON SALEM, NC 27101

Track & Confirm

Enter label number:

Track & Confirm FAQs

Notification Options

- ▶ Track & Confirm by email
- ▶ Request Proof of Delivery

[What Is this?](#)

[Go >](#)

[What Is this?](#)

[Go >](#)



POSTAL INSPECTORS
Preserving the Trust

[site map](#) [contact us](#) [government services](#)
Copyright © 1999-2002 USPS. All Rights Reserved. [Terms of Use](#) [Privacy Policy](#)